

# 2/ J. 15.02 C. Wiel

I hereby certify that this paper is being deposited with the United States Postal Service with sufficient postage as First Class Mail under 37 CFR 1.8 on the date indicated below and is addressed to: "Option issuing to the state of the sufficient postage as First Class Mail under 37 CFR 1.8 on the date indicated below and is addressed to: "Option issuing to the sufficient postage as the sufficient postage

Signed \_\_\_\_

Stuart T. Auvinen, Reg. No. 36,435

Date Signed and Mailed \_\_\_

PATENT RS-11

IN THE I	INITED S	STATES PATENT	AND TRADEMARK	OFFICE

in re application of	)	7
Stone	) Examiner:	RE1 90 281
Serial No. 09/682,324	) Group Art Unit: 2857	7 16 CEN
Filed: 8/20/01	)	AL VEL
For: Monitoring and Control Engine for Multi-Tiered Service-Level Management of Distributed Web-Application Servers	) ) )	ROOM

## INFORMATION DISCLOSURE STATEMENT

Hon. Commissioner of Patents and Trademarks Washington, DC 20231

Sir:

Attached is a completed Substitute Form PTO-1449 and copies of the pertinent parts of the references cited thereon.

□ The commissioner is hereby authorized to charge payment of any patent application processing fees under 37 C.F.R. § 1.17 associated with this communication or credit any overpayment to deposit account No. 01-2950.

Respectfully Submitted,

Stuart T. Auvinen Agent for Applicant Reg. No. 36,435

Sheet 1 of 2

rm PTO-1449	RS-11	09/682,324
INFORMATION DISCLOSURE CITATION IN AN APPLICATION	Applicant Stone	
	Filing Date	Group Art Unit

(Use several sheets if necessary)

Filing Date

8/20/01

Group Art Unit
2857

5 5 7 5 9 9 1 4	1 8 2 7 4 8 2	6 0 6 9 5 6	8 0 7 5 4	8 9 4 5 8	11/00 9/99 11/96 12/00 12/97	Wipfel et al. Friedrich et al. Ernst Narad et al. Baugher et al.	714 709 395 709 395	48 224 200.1 228		
7 5 9 9	2 7 4 8	6 9 5 6	7 5 4	4 5 8	11/96 12/00	Ernst Narad et al.	395	200.1		-
5 9 9	7 4 8 2	9 5	5	5	12/00	Narad et al.	709	228		_
9 9 1	8 2	5	4	8			-	<u> </u>		
9	8	6	H		12/97	Baugher et al.	305	200.10		
1	2		6	•		12/97 Baugher et al.		200.12		
		5		°	4/99 Shaffer		370	370 230		
4	1	6 2 1 2 5 6			4/01 Huang		709	709 227		
	Ļ	6	8	6	10/00	Jackowki et al.	709	224		
9	0	2	4	3	2/95	Casselman et al.	379	265		
4	4	9	9	6	11/00	Starnes et al.	709	217		
6	4	8	9	1	10/99	Caswell et al.	714	31		
1	9	0	4	5	10/98	Raman et al.	395	200.56		
9	8	5	3	2	1/97	Liron	395	200.01		
				RE			T	<del></del>		
DOCUMENT NUMBER						NAME	CLASS	SUBCLASS	TRANS YES	NC NC
	6	6 4 1 9 9 8	6 4 8 1 9 0 9 8 5	6 4 8 9 1 9 0 4 9 8 5 3	6 4 8 9 1 1 9 0 4 5 9 8 5 3 2 FORE	6 4 8 9 1 10/99 1 9 0 4 5 10/98 9 8 5 3 2 1/97  FOREIGN F  CUMENT NUMBER DATE	6 4 8 9 1 10/99 Caswell et al. 1 9 0 4 5 10/98 Raman et al. 9 8 5 3 2 1/97 Liron  FOREIGN PATENT DOCUM  CUMENT NUMBER DATE NAME	6 4 8 9 1 10/99 Caswell et al. 714 1 9 0 4 5 10/98 Raman et al. 395 9 8 5 3 2 1/97 Liron 395  FOREIGN PATENT DOCUMENTS  CUMENT NUMBER DATE NAME CLASS	6         4         8         9         1         10/99         Caswell et al.         714         31           1         9         0         4         5         10/98         Raman et al.         395         200.56           9         8         5         3         2         1/97         Liron         395         200.01           FOREIGN PATENT DOCUMENTS           CUMENT NUMBER         DATE         NAME         CLASS         SUBCLASS	6 4 8 9 1 10/99 Caswell et al. 714 31 1 9 0 4 5 10/98 Raman et al. 395 200.56 9 8 5 3 2 1/97 Liron 395 200.01  FOREIGN PATENT DOCUMENTS  CUMENT NUMBER DATE NAME CLASS SUBCLASS TRANSI

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

Substitute PTO/SB/ 08 (10-92)

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

OT 1 200 PTC

Sheet 2 of 2

n PTO-1449	Docket Number (Optional)	Application Number		
	RS-11	09/682,324		
INFORMATION DISCLOSURE CITATION IN AN APPLICATION	Applicant Stone	<u> </u>		
(Use several sheets if necessary)	Filing Date 8/20/01	Group Art Unit 2857		

U.S. PATENT								S PA	TENT DOC	8/20/01			2857		
XAMINER INITIAL	DOCUMENT NUMBER DATE								NAME	CLASS	SUBCLAS	SS FILING			
	5	5	0	4	8	9	4	4/96	Ferguson et	al. 395	650				
	5	7	9	9	1	7	3	8/98	Gossler et	al. 395	500				
	6	0	6	7	5	4	5	5/00	Wolff	707	10				
	6	2	2	6	3	7	7	5/01	Donaghue,	Jr. 379	265				
	6	1	7	3	3	0	6	1/01	Raz et al	709	102				
	6	1	0	8	7	0	0	8/00	Maccabee e	t al. 709	224				
			<u> </u>												
	<del>-</del>					FC	R	EIGN I	PATENT DO	DCUMENTS					
·	DOCUMENT NUMBER							DATE NAME	CLASS	SUBCLASS	SS TRANS	TRANSLATION YES NO			
·															
	<u> </u>	_													
							0	THER	DOCUMEN	TS (including Author,	litie, Date, F	Pertinent Page	s, Etc.		
	_	_													
													·		
									<u>:</u>	-					
									····	· · · · · · · · · · · · · · · · · · ·					
77.43.4D.1D.	R			-					DA	TE CONSIDERED					
XAMINE									1						

Substitute PTO/SB/ 08 (10-92)

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE